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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/603,389

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Vladimir Neyman

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1098

7590

12/15/2006

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EXAMINER

KARMIS, STEFANOS

ART UNIT

PAPER NUMBER

3691

DATE MAILED: 12/15/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/603,389

Applicant(s)

NEYMAN ET AL.

Examiner

Stefano Karmis

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 25 August 2006.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-33, 37-46 and 48-52 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-33, 37-46 and 48-52 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 8/31/06.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_.

## DETAILED ACTION

1. The following communication is in response to Applicant's amendment filed 25 August 2006.

### *Status of Claims*

2. Claims 2, 5-12, are currently amended. Claims 34-36 and 47 are cancelled. Therefore claims 1-33, 37-46 and 48-52 are currently pending in this application.

### *Response to Arguments*

3. Applicant's arguments, filed 25 August 2006, have been fully considered but are moot in view of the new ground(s) of rejection set forth below. Therefore claims 1-33, 37-46 and 48-52 stand rejected and Applicant's request for allowance is respectfully declined.

### *Double Patenting*

4. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting

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ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

5. Claims 15-21, 23-25, 31-33 and 49 are provisionally rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 16, 17, 20, 22-25, 27-29, 35-37 and 39 of copending Application No. 09/897,594. Although the conflicting claims are not identical, they are not patentably distinct from each other because they both recite substantially similar anonymous trading because the claims of the instant application are obvious variants to the claims of Application No. 09/897,594.

Claim 15 of the instant application recites a network of brokers comprising a matching engine and a plurality of trading agents each connected to a broker wherein at least one trading agent and broker include means for executing joint execution orders wherein the execution performs only one of: executing as separate trades, all of the linked orders of the joint execution order; and rejecting all of the linked orders of the joint execution order. Claim 16 of Application No. 09/897,594 discloses an anonymous trading system also comprising a network of brokers comprising a matching engine wherein the broker includes means for matching joint execution orders wherein the execution performs only one of: executing as separate trades, all of the linked orders of the joint execution order; and rejecting all of the linked orders of the joint execution order. Claim 16's failure to include a trading agent providing an interface does not render Application No. 09/897,594 patently distinct because there is still an interface provided by the broker. It would have been obvious to one of ordinary skill in the art at the time of the

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Applicant's invention to modify the instant application to allow the brokers to provide the interface to the trading floor because it eliminates the need for the trading agent and also the broker and trading agent perform work together to support each other in performing functions, for example they are connected to one another to provide the means for matching and executing joint execution orders. Therefore allowing the broker in the instant application to provide the interface is not patently distinct from having the trader agent provide the interface in Application No. 09/897,594 since it is incorporating the responsibilities of the trading agent into the broker.

Independent claims 31 and 49 of the instant application are not patently distinct from independent claims 35 and 39 of Application No. 09/897,594 and therefore stand rejected for reasons similar to claim 15. Dependent claims 16-21, 23-25, 32 and 33 of the instant application are substantially similar to dependent claims 17, 20, 22-25, 27-29, 36 and 37 of Application No. 09/897,594 and therefore stand rejected for reasons similar to claim 15.

This is a provisional obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

### ***Claim Rejections - 35 USC § 103***

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

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7. The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

8. Claims 1-33, 37-46 and 48-52 are rejected under 35 U.S.C. 103(a) as being unpatentable over Togher et al. (hereinafter Togher) U.S. Patent 5,375,055 in view of Herschkorn U.S. Patent 6,691,094 B1.

Regarding independent claim 1, Togher teaches an anonymous trading system for trading fungible instruments between traders, comprising:

a communications network for transmitting electronic messages (column 5, lines 4-39);

a plurality of order input devices connected to the communications network each for generating electronic order messages including bid and/or offer orders and for communication to a trader of price information received from others of a plurality of trader terminals over the network, (column 5, lines 4-39);

at least one matching engine connected to the network for matching orders input into the system from the order input devices and for assisting in executing deals where prices are matched (column 5, line 40 thru column 6, line 11);

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market distribution means connected to the network for distributing price messages to the trader terminals, the market distribution means being responsive to the price messages and the matching engine (column 5, line 40 thru column 6, line 11);

a plurality of order input device interface means, each order input device interface means having order input devices representing at least one trading floor connected thereto for communication of electronic order messages to the at least one matching engine and for communication of price messages and deal information messages to the connected trader terminal (column 5, line 40 thru column 6, line 11 and column 6, lines 55-66).

Togher fails to teach that the order input device operable to allow a trader to enter a joint execution order comprising two or more linked orders and matching and executing joint orders, performing only one of: execution all of the linked orders of the joint execution order and rejecting all of the linked orders of the joint execution order. Herschkorn teaches a bank loan trading system and method (Abstract). Herschkorn teaches that the invention can be applied to the trading of stocks/bonds (column 20, lines 13-20) and that the bond application could help increase the number of trades executed as it provides a method for matching buyers and sellers (column 19, lines 44-61). Herschkorn teaches that the bonds can be offered as linked orders wherein a seller offers to sell either \$1,000,000 of bonds or \$750,000 of bonds (column 20, lines 21-26). The execution of one of the linked bond orders is done separately from the other linked bond order and the order can only be performed by executing either All or None of one of the bond amounts for sale (column 20, lines 21-26). Therefore it would have been obvious to one of ordinary skill in the art at the time of the Applicant's invention to modify the anonymous trading

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teachings of Togher to include the linked order offering of Herschkorn because it allows a market participant to have more control in the matching and trading of fungible instruments.

Claim 2, Togher teaches a matching engine for matching orders (column 5, line 40 thru column 6, line 11). Togher fails to teach matching joint execution orders. Breen teaches a trading system wherein the means for executing a plurality of linked orders comprises means at the matching engine for matching each of the orders comprising a plurality of linked orders and means for rejecting the linked orders if less than all the orders comprising the linked orders are matched (column 12, lines 1-27). Herschkorn teaches that a bond application could help increase the number of trades executed as it provides a method for matching buyers and sellers (column 19, lines 44-61). Herschkorn teaches that the bonds can be offered as linked orders wherein a seller offers to sell either \$1,000,000 of bonds or \$750,000 of bonds (column 20, lines 21-26). The execution of one of the linked bond orders is done separately from the other linked bond order and the order can only be performed by executing either All or None of one of the bond amounts for sale (column 20, lines 21-26). Therefore it would have been obvious to one of ordinary skill in the art at the time of the Applicant's invention to modify the anonymous trading teachings of Togher to include the linked order offering of Herschkorn because it allows a market participant to have more control in the matching and trading of fungible instruments.

Claim 3, Tougher teaches an anonymous trading system wherein the electronic order messages are invisible hit orders (column 3, lines 45-59 and column 9, lines 15-21).



Claim 4, Tougher teaches an anonymous trading system wherein the hit orders are persistent (column 3, lines 1-21 and 45-59).

Claim 5, Tougher teaches a trading system comprising a plurality of matching engines, said plurality of matching engines including a taker matching engine connected to the order input device interface means to which the order input device submitting the order is connected, wherein the means for matching each of the orders comprising the plurality of orders is located at the taker matching engine (column 11, lines 7-51).

Claim 6, Tougher teaches an anonymous trading system wherein the means for matching and executing a plurality of orders comprises means for generating and sending to the matching engine an instruction to match and execute a plurality of orders (column 5, line 40 thru column 6, line 11).

Claim 7, Tougher teaches a trading system wherein the means for generating and sending to the matching engine an instruction to match and execute a plurality of orders includes means for identifying each of the orders to be matched (column 11, line 54 thru column 12, line 51).

Claim 8, Tougher teaches a trading system wherein the means for matching and executing a plurality of linked orders comprises, at the order input device interface means to which an order input device submitting a linked order is connected, means for receiving a message from the matching engine indicating that an order is executable and means for

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completing each of the orders comprising the plurality of linked orders when executable order messages have been received for each of the linked orders (column 12, line 52 thru column 13, line 10).

Claim 9, Tougher teaches that the means for receiving executable order messages and for completing each order comprises means for adjusting the amount of one or more of said plurality of orders (column 12, lines 7-30).

Claim 10, Tougher teaches that the means for completing each of the orders (column 11, line 54 thru column 12, line 51). Tougher fails to teach simultaneously executing all linked orders. Herschkorn teaches that a bond application could help increase the number of trades executed as it provides a method for matching buyers and sellers (column 19, lines 44-61). Herschkorn teaches that the bonds can be offered as linked orders wherein a seller offers to sell either \$1,000,000 of bonds or \$750,000 of bonds (column 20, lines 21-26). The execution of one of the linked bond orders is done separately from the other linked bond order and the order can only be performed by executing either All or None of one of the bond amounts for sale (column 20, lines 21-26). Therefore it would have been obvious to one of ordinary skill in the art at the time of the Applicant's invention to modify the anonymous trading teachings of Togher to include the linked order offering of Herschkorn because it allows a market participant to have more control in the matching and trading of fungible instruments.

Claim 11, Togher teaches that the order input device interface means comprises means for converting a single order message input from a connected order input device into a plurality of linked orders (column 13, lines 41-67).

Claim 12, Togher teaches a an order for a trade between a first and second currency pair and the order input device interface means converts the order into an order for a trade between the second and a third currency pair (column 6, line 66 thru column 7, line 19 and column 14, line 26-49).

Claim 13, Togher teaches at least one brokering node, each brokering node comprising at least one matching engine and a market distribution means (column 5, lines 40-67).

Claim 14, Togher teaches a plurality of broker nodes (column 5, lines 40-67).

Regarding claim 15, Togher teaches an anonymous trading system for trading fungible instruments between traders, comprising:

a plurality of order input devices, at least one of said order input devices for a trader entering an order (column 5, lines 4-39);

a network of brokers, each broker comprising a matching engine for matching bids and offers and offers entered into the system and for assisting in executing deals where orders are matched, and market distribution means for distributing price messages to order input devices (column 5, line 40 thru column 6, line 11);

a plurality of trading agents, each trading agent being connected to a broker and providing an interface between a trading floor of said order input devices and the broker to which the trading agent is connected (column 5, line 40 thru column 6, line 11 and column 6, lines 55-66).

Togher fails to teach that the order input device operable to allow a trader to enter a joint execution order comprising two or more linked orders and matching and executing joint orders, performing only one of: execution all of the linked orders of the joint execution order and rejecting all of the linked orders of the joint execution order. Herschkorn teaches a bank loan trading system and method (Abstract). Herschkorn teaches that the invention can be applied to the trading of stocks/bonds (column 20, lines 13-20) and that the bond application could help increase the number of trades executed as it provides a method for matching buyers and sellers (column 19, lines 44-61). Herschkorn teaches that the bonds can be offered as linked orders wherein a seller offers to sell either \$1,000,000 of bonds or \$750,000 of bonds (column 20, lines 21-26). The execution of one of the linked bond orders is done separately from the other linked bond order and the order can only be performed by executing either All or None of one of the bond amounts for sale (column 20, lines 21-26). Therefore it would have been obvious to one of ordinary skill in the art at the time of the Applicant's invention to modify the anonymous trading teachings of Togher to include the linked order offering of Herschkorn because it allows a market participant to have more control in the matching and trading of fungible instruments.

Claims 16, Tougher teaches that each of the plurality of brokers and connected trading agents comprise means for matching orders (column 5, line 40 thru column 6, line 11 and column 6, lines 55-66).

Claim 17 is substantially similar to claim 12 and therefore is rejected using the same reasoning for claim 12 as discussed above.

Claim 18 is substantially similar to claim 12 and therefore is rejected using the same reasoning for claim 12 as discussed above.

Claim 19 is substantially similar to claim 2 and therefore is rejected using the same reasoning for claim 2 as discussed above.

Claim 20 is substantially similar to claim 3 and therefore is rejected using the same reasoning for claim 3 as discussed above.

Claim 21 is substantially similar to claim 4 and therefore is rejected using the same reasoning for claim 4 as discussed above.

Claim 22 is substantially similar to claim 4 and therefore is rejected using the same reasoning for claim 6 as discussed above.

Claim 23, Tougher teaches that the means for completing each of the orders (column 11, line 54 thru column 12, line 51). Tougher fails to teach executing linked orders when only all orders in the link order are executable. Herschkorn teaches that a bond application could help increase the number of trades executed as it provides a method for matching buyers and sellers (column 19, lines 44-61). Herschkorn teaches that the bonds can be offered as linked orders wherein a seller offers to sell either \$1,000,000 of bonds or \$750,000 of bonds (column 20, lines 21-26). The execution of one of the linked bond orders is done separately from the other linked bond order and the order can only be performed by executing either All or None of one of the bond amounts for sale (column 20, lines 21-26). Therefore it would have been obvious to one of ordinary skill in the art at the time of the Applicant's invention to modify the anonymous trading teachings of Togher to include the linked order offering of Herschkorn because it allows a market participant to have more control in the matching and trading of fungible instruments.

Claim 24, Tougher teaches completing a credit check on the counterparty before executing an order (column 2, lines 32-36 and column 3, lines 1-21).

Claim 25, Tougher teaches adjusting volume of an order to correspond to a minimum amount (column 15, lines 5-17). Tougher fails to teach this in a joint execution environment. Herschkorn teaches that the bonds can be offered as linked orders wherein a seller offers to sell either \$1,000,000 of bonds or \$750,000 of bonds (column 20, lines 21-26). The execution of one of the linked bond orders is done separately from the other linked bond order and the order can only be performed by executing either All or None of one of the bond amounts for sale (column

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20, lines 21-26). Therefore it would have been obvious to one of ordinary skill in the art at the time of the Applicant's invention to modify the anonymous trading teachings of Togher to include the linked order offering of Herschkorn because it allows a market participant to have more control in the matching and trading of fungible instruments.

Claim 26 is substantially similar to claim 1 and therefore is rejected using the same reasoning for claim 1 as discussed above.

Claim 27 is substantially similar to claim 25 and therefore is rejected using the same reasoning for claim 25 as discussed above

Claim 28 is substantially similar to claim 16 and therefore is rejected using the same reasoning for claim 16 as discussed above

Claim 29 is substantially similar to claim 12 and therefore is rejected using the same reasoning for claim 12 as discussed above.

Claim 30 is substantially similar to claim 12 and therefore is rejected using the same reasoning for claim 12 as discussed above.

Regarding claim 31, Togher teaches an anonymous trading system for trading fungible instruments between traders, comprising:

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a plurality of order input devices, at least one of said order input devices for a trader entering an order (column 5, lines 4-39);

a network of matching engines, each matching engine matching bid and offer orders entered into the system and assisting in the execution of deals where bid and offer orders have been matched (column 5, line 40 thru column 6, line 11);

market distribution means for distributing information relating to bid and offer orders in the system to the trader terminals (column 5, line 40 thru column 6, line 11);

a plurality of trading agents, each of said plurality of trading agents being connected to one of the network of matching engines and providing an interface between a trading floor and said plurality of order input devices and the matching engine to which the trading agent is connected (column 5, line 40 thru column 6, line 11 and column 6, lines 55-66)

means for synthesizing bid and offer orders for transactions between a pair of currencies having a first currency and a second currency from bid and offer orders entered into the system for transactions between a currency pair comprising the first currency and a third currency and bid and offer orders entered into the system for transactions between a currency pair comprising the secondary currency and the third currency (column 6, line 66 thru column 7, line 19 and column 14, line 26-49).

Tougher fails to teach this in a joint execution environment. Herschkorn teaches that the bonds can be offered as linked orders wherein a seller offers to sell either \$1,000,000 of bonds or \$750,000 of bonds (column 20, lines 21-26). The execution of one of the linked bond orders is done separately from the other linked bond order and the order can only be performed by executing either All or None of one of the bond amounts for sale (column 20, lines 21-26).



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Therefore it would have been obvious to one of ordinary skill in the art at the time of the Applicant's invention to modify the anonymous trading teachings of Togher to include the linked order offering of Herschkorn because it allows a market participant to have more control in the matching and trading of fungible instruments.

Claim 32 is substantially similar to claim 3 and therefore is rejected using the same reasoning for claim 3 as discussed above.

Claim 33 is substantially similar to claim 4 and therefore is rejected using the same reasoning for claim 4 as discussed above.

Claims 34-36 are cancelled.

Claim 37 is substantially similar to claim 1 and therefore is rejected using the same reasoning for claim 1 as discussed above.

Claim 38 is substantially similar to claim 12 and therefore is rejected using the same reasoning for claim 12 as discussed above.

Claim 39 is substantially similar to claim 12 and therefore is rejected using the same reasoning for claim 12 as discussed above.

Claim 40 is substantially similar to claim 23 and therefore is rejected using the same reasoning for claim 23 as discussed above.

Claim 41 is substantially similar to claim 3 and therefore is rejected using the same reasoning for claim 3 as discussed above.

Claim 42 is substantially similar to claim 4 and therefore is rejected using the same reasoning for claim 4 as discussed above.

Claim 43 is substantially similar to claim 4 and therefore is rejected using the same reasoning for claim 6 as discussed above.

Claim 44 is substantially similar to claim 23 and therefore is rejected using the same reasoning for claim 23 as discussed above.

Claim 45 is substantially similar to claim 24 and therefore is rejected using the same reasoning for claim 24 as discussed above.

Claim 46 is substantially similar to claim 25 and therefore is rejected using the same reasoning for claim 25 as discussed above.

Claim 47 is cancelled.

Claim 48 is substantially similar to claim 1 and therefore is rejected using the same reasoning for claim 1 as discussed above.

Claim 49 is substantially similar to claim 31 and therefore is rejected using the same reasoning for claim 1 as discussed above.

Claim 50 is substantially similar to claim 1 and therefore is rejected using the same reasoning for claim 1 as discussed above.

Claim 51 is substantially similar to claim 1 and therefore is rejected using the same reasoning for claim 1 as discussed above.

Claim 52 is substantially similar to claim 31 and therefore is rejected using the same reasoning for claim 31 as discussed above.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Stefano Karmis whose telephone number is (571) 272-6744. The examiner can normally be reached on M-F: 8-5.

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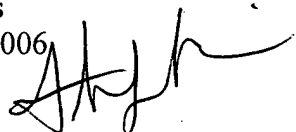
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Alex Kalinowski can be reached on (571) 272-6771. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Respectfully Submitted

Stefano Karmis

07 December 2006

A handwritten signature in black ink, appearing to read 'Stefano Karmis', is written over the typed name and date.